

COPY

DECEMBER 14, 1999

SIERRA PATENT GROUP, LTD.
TAMARA CHARLAND
P.O. BOX 6149
STATELINE, NV 89449



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231



101157693A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/27/1999

REEL/FRAME: 010266/0228
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS)

ASSIGNOR:
HUANG, YONGLIN

DOC DATE: 08/02/1999

ASSIGNOR:
XIE, PING

DOC DATE: 08/02/1999

ASSIGNEE:
NEW FOCUS, INC.
2530 WALSH AVENUE
SANTA CLARA, CALIFORNIA 95051-0905

SERIAL NUMBER: 09365680
PATENT NUMBER:

FILING DATE: 08/02/1999
ISSUE DATE:

KIMBERLY WHITE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

COPY

09-29-1999

COPY R



SHEET

101157693

To the Honorable Assistant Commissioner for Patents: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Yonglin Huang
Ping XieAdditional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

2. Name and address of receiving party(ies)

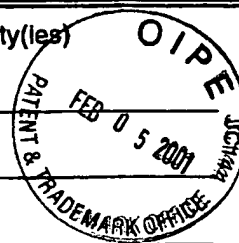
Name: New Focus, Inc.

Internal Address: _____

Street Address: 2630 Walsh Avenue

City: Santa Clara State: CA ZIP: 95051-0905

Execution Date: August 2, 1999

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is 1

A. Patent Application No.(s)

09/365,680

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sierra Patent Group, Ltd

Internal Address: _____

Street Address: P.O. Box 6149

City: Stateline State: NV ZIP: 89449

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit Account number:

50-0612

(Attach duplicate copy of this page if paying by deposit account)

09/28/1999 DNGUYEN 00000195 09365680

01 F0581

40.00 DP

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Tamara Charland

Name of Person Signing

Signature

September 21, 1999

Date

Total number of pages including cover sheet, attachments, and document: 2

Mail documents to be recorded with required cover sheet Information to:

Assistant Commissioner for Patents, Box Assignment, Washington, DC 20231

COPY

COPY

Docket No.: NFSC-99-001

ASSIGNMENT

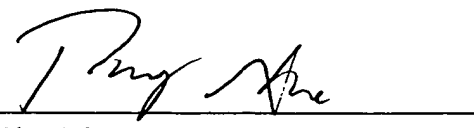
WHEREAS, we, Yonglin Huang, a citizen of Peoples Republic of China, residing at 2463 Flickinger Road, San Jose, California 95131, Ping Xie, a citizen of Peoples Republic of China, residing at 1272 Chessington Drive, San Jose, California 95131, have invented a "**OPTICAL POLARIZATION BEAM/SPLITTER**" for which we have executed application papers for a U.S. patent thereon, not yet filed; and

WHEREAS, New Focus Inc., a California corporation, having a place of business at 2630 Walsh Avenue, Santa Clara, California 95051-0905, is desirous of acquiring the exclusive right, title and interest in and to said invention and in and to the Letters Patent to be granted and issued therefor in the United States of America and its territories and possessions, and all countries foreign thereto;

NOW, THEREFORE, for a valuable consideration, the receipt of which is hereby acknowledged, we, Yonglin Huang, and Ping Xie do sell, assign, transfer and set over unto the said New Focus Inc., its successors and assigns, the full and exclusive right, title and interest in and to said invention, and in and to any and all Letters Patent to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but also for, to and in all other countries including all priority rights under the International Convention; and we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to New Focus Inc., its successors and assigns, in accordance with this Assignment.

WITNESS OUR HAND at Santa Clara, California, this 9th day of August, 1999.


Yonglin Huang


Ping Xie

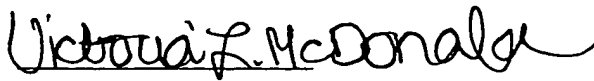
STATE OF CALIFORNIA)

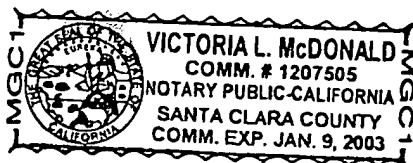
) ss.

COUNTY OF Santa Clara)

On this 9th day of August, 1999, before me, Victoria McDonald a Notary Public, personally appeared Yonglin Huang, and Ping Xie, personally known to me (or proved to me on the basis of satisfactory evidence) to be the persons whose name are subscribed to the within instrument and acknowledged to me that they executed the same in their authorized capacities, and that by their signatures on the instrument the persons or the entity upon behalf of which the persons acted, executed the instrument.

WITNESS my hand and official seal.


NOTARY PUBLIC



COPY

COPY



Docket No.: NFCS-99-001

#3

DECLARATION

As a below-named inventor, I hereby declare that:

My correct residence, post office address and citizenship are stated below next to my name.

I believe myself to be the original, first and sole inventor (if only one name is listed below) or an original and first joint inventor (if more than one name is listed below) of the subject matter which is disclosed and claimed and for which a patent is sought on the invention entitled:

"OPTICAL POLARIZATION BEAM COMBINER/SPLITTER"

The specification of this subject matter:

☒ is attached hereto.

☐ was filed on, 1999;

was assigned serial No.;

which was amended on _____.

I hereby state that I have reviewed and understand the contents of the above identified patent application, including the claims, as amended by any amendment(s) referred to above. I believe the subject matter claimed in the above-identified application to be new and to be unobvious to persons of ordinary skill in the art in view of the prior art of which I am aware. I further hereby state that the specification of the above identified patent application adequately describes how to make and use the claimed invention, and further that it sets forth the best mode for practicing the invention known to me as of the date that the application was filed. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. §1.56(a).

I hereby claim foreign priority benefits under 35 U.S.C. §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Application No.	Country	Filing Date	Priority Claimed
-----------------	---------	-------------	------------------

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in these prior United States application(s) in the manner provided by 35 U.S.C. §112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application.

Application No.	Filing Date	Status (Issued, Pending, Abandoned)
-----------------	-------------	-------------------------------------

COPY

COPY

Docket No.: NFCS-99-001

FULL NAME OF
INVENTOR 1

Yonglin

MIDDLE Initial(s)

LAST Name

Huang

RESIDENCE AND City
CITIZENSHIP

State or Foreign Country

Country of Citizenship

San Jose

California

Peoples Republic of China

POST OFFICE
ADDRESS

Number and Street

City

State or Country

Zip Code

2463 Flickinger Road

San Jose

California

95131

FULL NAME OF
INVENTOR 2

FIRST Name

MIDDLE Initial(s)

LAST Name

Ping

Xie

RESIDENCE AND City
CITIZENSHIP

State or Foreign Country

Country of Citizenship

San Jose

California

Peoples Republic of China

POST OFFICE
ADDRESS

Number and Street

City

State or Country

Zip Code

1272 Chessington Drive

San Jose

California

95131

I further declare that all statements made herein of my own knowledge are true and that all statements made upon information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1

Date

Signature of Inventor 2

Date

COPY